

Getting Started with the Review of Open Obligations Tool

This document addresses operation of the Review of Open Obligations Tool. For business rules on how to complete the data entry areas, a SharePoint site with several documents has been set up at <https://nrcs.sc.egov.usda.gov/chief/2009openobligation>.

1. Logon to ROOT.

- Access the ROOT site with Internet Explorer at:
<https://csg.sc.egov.usda.gov/Portal/>.
- Click Continue to go to the training or production site.
- Enter your eAuth Login.
- The Open Obligations Determination tab will display.



ROOT Home Page

Following login the Open Obligations page is displayed.

Use the filters at the top of the page to locate the open obligations on which you will make determinations

When you click Go the system will display a list of open obligations that match the criteria you entered.

Click on the open obligation row to select and highlight it.

The default tab is the Open Obligation Determinations tab. The top section is a summary of your review of the open obligation to be completed after completing the Checklist.

Determination review comments (either by the reviewer or the certifier) are listed in the midsection.

Certifiers identify their role and concurrence decision.

When the page is saved, your name and the current status of the determination are updated in the Review History.

Review History also shows record of who saved edits to determination and checklist

Open Obligation Determinations

2. Select open obligations for your responsibility area.

Data Entry | **Reports**

Selection Criteria

State/Div: County:

Trans Code: BOC:

Program: Initial BFY:

Status: Concurrence:

Doc #: Open Obligation:

Obligation Document Selection Criteria

- Select your **State/Div** from the drop-down list.
- Select your **County**, if applicable.
- Make other selections as appropriate.
- Click Go.

3. Select an open obligation document from the list.

- Scroll to the open obligation document you plan to review. (If the list is too long, search again with more criteria before trying to select a single document.)
- Click on the open obligation row. The system will highlight the selected row.

Open Obligation Summary

County Name	TC	Doc #	Vendor Name	Document Total Amount	Open Obligation Amount	Acceptance Date	BFY	Document Status
LARIMER	MO	668B05002	GEORGE WALLACE	12,379.00	12,379.00	02/26/2008	2008	
LARIMER	MO	668B05004	MARK JONES	3,281.00	3,281.00	03/10/2008	2008	
LARIMER	MG	748B05070PV	KENNETH P FISHER	37,105.00	5,450.00	05/27/2007	2007	
LARIMER	MG	748B05070QB	JOHN R TORRES	10,000.00	10,000.00	04/15/2007	2007	
LARIMER	MG	748B05070QO	THOMAS E VAN VELSON	7,536.00	3,768.00	04/15/2007	2007	
LARIMER	MG	748B05080GD	GLENN W SNYDER	17,590.96	14,905.00	01/16/2008	2008	
LARIMER	MG	748B05080P1	E RABBIT CREEK RANCH LLLP	28,402.93	768.00	02/08/2008	2008	
LARIMER	MG	748B05080Q5	THOMAS R DAVIS	3,014.30	1,877.00	01/16/2008	2008	
LARIMER	MG	748B05080T3	MISC CONTRACTOR-NON FED	30,747.85	1,047.00	03/03/2008	2008	
LARIMER	MG	748B05080T9	PHANTOM CANYON RANCH CO	25,655.00	25,655.00	02/12/2008	2008	
LARIMER	MG	748B05080VD	KENNETH L GOLDSBERRY	34,946.87	16,515.00	03/06/2008	2008	
LARIMER	MG	748B05081P2	MH AND SONS LLC	41,179.00	41,179.00	08/28/2008	2008	

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Obligation Documents matching Selection Criteria

- Information about the selected obligation will display.

4. Select an open obligation category from the list.

- If possible, the system will determine the obligation category. Otherwise, you will need to select the category from the drop-down.
- In the case of ProTracts obligations, additional information will appear in the Selected Obligation Document. It will include ProTracts contract data.

Print the full detail about the obligation including document data, determination, transactions, and checklist.

Selected Obligation Document			
Doc No: 748B05070PV	Vendor Name: KENNETH P FISHER	Document Total Amount:	\$37,105.00
Division: COLORADO	County: LARIMER	Open Obligation Amount:	\$5,450.00
Program:	Acceptance Date: 05/27/2007		

ProTracts Obligation Data			
eSignature: Jon E Wicke	Contract Exp Date: 12/31/2010	ProTracts Total Obli. Amt:	\$37,105.00
Status: Active	Status Date: 05/25/2007	ProTracts Open Obli. Amt:	\$5,450.00
	Held Deobligation: N		

Open Obligations is associated with: --- Select One ---

Selected Document Description

--- Select One ---

--- Select One ---

1. IAS Obligations (IO, IN)
4. Protracts (MG)
5. Grants & Agreements (MO)
6. Easements, Non-IAS Contracts, & Other (MO)
7. Miscellaneous Obligations (MO, GD, GA, FO)
8. Relocations (XO)
9. Temporary Duty Travel (TO)

Obligation document categories

ProTracts Obligation Data only displays for ProTracts contracts.

CAUTION: If you change the obligation category after entering data and save the Open Obligations page, all of the checklist questions previously answered will be discarded.

Check the Category Help or the SharePoint site for clarification on the Categories.

5. Review the Open Obligation Determinations.

- Read through the *Review Determinations* to understand the determinations that you will need to make after completing the Checklist. The purpose is to determine validity of open obligations, appropriate actions to be taken, possible deobligation dollar amounts, and when actions have or should have occurred. You will not complete the Review Determinations until you have done the research and completed the Checklist.

Open Obligation Determination	Transactions	Checklist
<p>Open Obligation Determination</p> <p>Review Determinations</p> <p><input type="checkbox"/> 1. Obligation was valid as of September 30, 2008 Were any goods/services/practices received or completed on or before September 30, 2008 for which payment has or will be made on or after October 1, 2008? If so, what was dollar amount that should have been recorded as an accrual? <input type="text"/></p> <p><input type="checkbox"/> 2. Deobligation recommended Estimated deobligation amount <input type="text"/> When should the deobligation have occurred? <input type="text" value="--- None Selected ---"/></p> <p><input type="checkbox"/> 3. Deobligation complete <input type="text" value="MMDDYYYY"/></p> <p><input type="checkbox"/> 4. Obligation is valid as of review date <input type="text"/></p> <p><input type="checkbox"/> 5. Required actions cannot be completed by December 30, 2008 as noted in Review Comments due to policy or statutory provisions</p> <p>Review Comments</p> <div> <div> <p>Whitescarver, Robert - 11/21/2008 Contract is valid. All practices on schedule.</p> <p>Whitescarver, Robert - 11/21/2008 Contract is valid. All practices on schedule.</p> <p>Whitescarver, Robert - 11/21/2008 Contract is valid. All practices on schedule.</p> <p>Employee, J.A. - 11/18/2008 Need more information for checklists.</p> </div> <div> <p>Enter Comment below</p> <input type="text"/> </div> </div> <p>Review Certification</p> <p>Role: <input type="text" value="--- Select One ---"/> Concurrency: <input type="text" value="--- Select One ---"/></p> <p><input type="button" value="Save"/></p>		

Open Obligation Determination

6. Review the Transactions tab

Open Obligation Determination

Transactions

Checklist

Transactions

Open Obligation Line Detail Data

TC	Line No	Acceptance Date	Line Description	BFY	EFY	Fund	BOC	Transaction Amount
MG	1	5/27/2007		2007	0	76F	4116	37,875.00
MG	1	7/17/2007		2007	0	76F	4116	-980.00
MG	1	7/18/2007		2007	0	76F	4116	210.00
PG	1	7/25/2007	Item 1,Irrigation Water(430DD)	2007	0	76F	4116	-8,206.00
PG	1	7/25/2007	Item 2,Irrigation Water(430DD)	2007	0	76F	4116	-2,750.00
PG	1	7/25/2007	Item 3,Irrigation System,(442)	2007	0	76F	4116	-17,464.00
PG	1	7/25/2007	Item 20,Structure for Wat(587)	2007	0	76F	4116	-510.00
PG	1	8/14/2007	Item 8,Pest Management(595)	2007	0	76F	4116	-1,335.00
PG	1	6/4/2008	Item 5,Irrigation Water M(449)	2007	0	76F	4116	-445.00
PG	1	6/4/2008	Item 6,Nutrient Managemen(590)	2007	0	76F	4116	-445.00
PG	1	6/4/2008	Item 7,Nutrient Managemen(590)	2007	0	76F	4116	-125.00
PG	1	6/4/2008	Item 9,Pest Management(595)	2007	0	76F	4116	-375.00
	1		Unliquidated Transaction Amount		0			5,450.00

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Transactions Tab

- Click the Transactions tab to open it.
- The transactions tab contains detail about all transactions for all lines in the document. The display is in line number order. Following each line number you will find a row containing the “Unliquidated Transaction Amount.”
- The transactions are displayed in a scrollable pane, if necessary.
- Any unliquidated amounts must be researched and addressed.

7. Answer the checklist questions.

- Checklist questions are associated and unique for each category. No questions will appear unless a category has been chosen in the Selected Obligation Document section.

WARNING! If you change the category and Save this page, you will lose any previous edits under another category. There is no rollback capability!

- Follow-up actions will only appear when a checklist response is something other than "Not applicable" or "Yes, supports open obligation".

The screenshot shows the 'Checklist Tab' for 'Selected Category: 1. ProTracts'. It lists 14 questions regarding the status of the agreement, performance period, and documentation. Each question has a 'Show Comments' button next to it. The first question is expanded, showing a dropdown menu with options: '---None Selected---', 'Yes, supports open obligation', 'Followup action in process for correction by December 30, 2008', 'Long term action required to correct deficiency after December 30, 2008', and 'Deficiency cannot be resolved. Recommend potential deobligation'. A comment box at the bottom shows a comment from John Doe dated 11/20/2008 12:30, stating 'De-obligation submitted 11/03/2008 Pending'.

Checklist Tab

This close-up shows the dropdown menu for question 2, 'Is the period of performance past (agreement has expired)?'. The selected option is '---None Selected---'. The menu also lists 'Yes, supports open obligation' with follow-up actions, and 'Deficiency cannot be resolved. Recommend potential deobligation'.

When you open the tab, only the questions, response drop-downs, and the Show Comments buttons are displayed. Select your response from the drop-down.

After you choose your response, a selection list of Action Required items is displayed, if appropriate. No action is required if your response is "Yes, supports open obligation" or "Not Applicable." If your response has potential actions, the question header expands. Click the radio button preceding the appropriate action. Click Show Comments to view or append additional information. When comments are displayed, the button changes to Hide Comments.

This close-up shows the 'Checklist Tab' for 'Selected Category: 1. ProTracts'. It displays the first question, 'Is this an active ProTracts agreement (not terminated, cancelled, or completed)?', with a dropdown menu showing 'Deficiency cannot be resolved. Recommend potential deobligation'. Below the question, the 'Action Required' section is expanded, showing two radio button options. A comment box at the bottom shows a comment from John Doe dated 11/20/2008 12:30, stating 'De-obligation submitted 11/03/2008 Pending'. The 'Show Comments' button is visible next to the question.

Close up of Checklist Tab showing Action Required list, comments, and Show/Hide buttons

- When a different response is selected, the associated Action Required drop-down will be displayed.
- Select the appropriate action from the drop-down.
- You can add comments to support any answer by clicking the Show Comments button. Comments will get appended to a read only list upon Save of the checklist. After completing the checklist, check the box preceding Checklist Complete.
- When the “Checklist Complete” box is checked, the “All required actions completed” box will display. (If check in the first box is removed, the second box is cleared and hidden again.)
- Check the “All required actions completed” box, if appropriate. This may be done on a later edit, if necessary.
- Remember to save any edits or comments with the SAVE button.

☐ Checklist Completed ☐ All required actions completed
 Save

8. Enter your determinations on the Open Obligation Determinations tab.

- Once you have completed the checklist, return to the *Open Obligation Determinations* tab to enter the results of your review.

Open Obligation Determination | Transactions | Checklist

Open Obligation Determination

Review Determinations

☐ Obligation was valid as of September 30, 2008
 Estimate of completed services for which accruals should have been recorded as of September 30, 2008

☐ Deobligation recommended
 Estimated deobligation amount
 When should the deobligation have occurred?: --- None Selected ---

☐ Deobligation complete

☐ Obligation is valid as of review date
 Estimate of completed services for which accruals will be recorded before January 1, 2009

☐ Required Actions cannot be completed by December 30, 2008 as noted in Review Comments due to policy or statutory provisions

Open Obligation Determinations

- Check all boxes that are appropriate.
- If “Obligation was valid as of September 30, 2008” enter the accrual amount as indicated.
- If “Deobligation Recommended” estimate the amount and indicate when the deobligation should have occurred.
- If “Deobligation Complete,” enter the date. The confirmation of deobligations may occur after determination is concurred.

- If “Obligation is valid as of review date,”

9. Enter review comments.

- Enter review comments to clarify or support your determination.

Review Comments

J.A Employee - 11/08/2008
Sample note 3

Doe, John - 11/02/2008
Sample note 2

J.A Employee - 11/01/2008
Sample note 1

Enter Comment below

Review Comments

- On Save, any comments you enter will be appended to the list on the left side. The most recent comment appears first.

10. Enter certification.

- For the open obligation review to be considered "Complete" the obligation must be certified as valid or recommend deobligation. ROOT allows flexibility for multiple reviewers to concur with the determination. Users can select what role (program, administrative, or financial) best fits their review responsibility. If a reviewer disagrees with recommendations this should trigger further review and eventual concurrence.
- Every open obligation determination must be certified after review.
- Certifiers may be in the Program, Financial, or Administrative area.
- In some cases, multiple certifications may be required.
- If either a Role or a Concurrence is selected, they must both be selected.

Review Certification

Role: --- Select One ---

Concurrence: --- Select One ---

Save

Program
Admin
Financial

Review Certification

Roles reflect the area certifying the determinations.

- Click Save when complete.

WARNING! If you edit the checklist or uncheck the “Checklist Complete” box on the Checklist Complete page, the determination will require recertification.

If a certifier rejects the determination, the determination will return to “In Process” status.

11. Review History.

The Review History documents edits and changes to the open obligation record. The status will become certified when one of the users concurs with the determinations.

Review History						
Status	Role	Date	Time	User Name	Action	Concurrence
In Process	Program	11/01/2008	11:10	J.A Employee	In Process	
Certified	Program	11/02/2008	11:10	Doe, John	Concur	Concur
Checklist Complete	Program	11/03/2008	11:10	J.A. Employee	Checklist Complete	

Review Certification

12. Generate Reports.

Reports are not yet available. Initially, three reports are planned.

Report #1: Status Report for States and Divisions

- This report will provide map and tabular views of progress made reviewing the open obligations. It will include State/Division, Count of Open Obligation to be reviewed, Dollars of Open Obligations, Status Percent by Category (Not started, In Process, Review Completed, etc).
- It will also report Determination Percent by Category (Obligation is Valid, Recommend Deobligation, etc) and Total Dollars being De-obligated.

Report #2: Report of Open Obligations

- This report provides a general listing of open obligations with Status of each document. (This report is at the document level as shown in the first table of each page.)

Report #3: Open Obligation Determination and Review Checklist

- This report includes all sections for a single document, including the document summary, detail transactions, summary determinations information, checklist and associated comments, and review history (who certified what).